

Electronic Acknowledgement Receipt

EFS ID:	5245299
Application Number:	10627646
International Application Number:	
Confirmation Number:	3617
Title of Invention:	Method and apparatus for enabling individual or smaller investors or others to create and manage a portfolio of securities or other assets or liabilities on a cost effective basis
First Named Inventor/Applicant Name:	Steven M.H. Wallman
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Filer:	Shawn W. Odowd/Charisma Ward
Filer Authorized By:	Shawn W. Odowd
Attorney Docket Number:	10392-460042
Receipt Date:	29-APR-2009
Filing Date:	28-JUL-2003
Time Stamp:	17:31:18
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	\$840

RAM confirmation Number		3822			
Deposit Account		110600			
Authorized User					
File Listing:					
Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Terminal Disclaimer Filed	TerminalDisclaimer01.pdf	353374	no	2
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Warnings:					
Information:					
2	Terminal Disclaimer Filed	TerminalDisclaimer02.pdf	353514	no	2
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Warnings:					
Information:					
3	Terminal Disclaimer Filed	TerminalDisclaimer03.pdf	353654	no	2
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Warnings:					
Information:					
4	Terminal Disclaimer Filed	TerminalDisclaimer04.pdf	365869	no	2
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Warnings:					
Information:					
5	Terminal Disclaimer Filed	TerminalDisclaimer05.pdf	365927	no	2
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Warnings:					
Information:					
6	Terminal Disclaimer Filed	TerminalDisclaimer06.pdf	366067	no	2
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Warnings:					
Information:					
7		ResponsetoOA01.pdf	99616	yes	8
			5b1700c9750b27c1ada172248f69cc02325226b		
	Multipart Description/PDF files in .zip description				
	Document Description		Start	End	
	Amendment/Req. Reconsideration-After Non-Final Reject		1	1	

	Claims	2	5
	Applicant Arguments/Remarks Made in an Amendment	6	8

Warnings:

Information:

8	Fee Worksheet (PTO-875)	fee-info.pdf	30135	no	2
			1296273cc2a627d17a04ac9a814229c29cd0f869		

Warnings:

Information:

Total Files Size (in bytes):	2288156
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New Applications Under 35 U.S.C. 111

If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

National Stage of an International Application under 35 U.S.C. 371

If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

New International Application Filed with the USPTO as a Receiving Office

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.